

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#41

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/447,788	11/23/99	SUZUKI	N 1232-4600

0222/0105

MORGAN & FINNEGAN LLP  
345 PARK AVENUE  
NEW YORK NY 10154

NOT ASSIGNED

2711

DATE MAILED:

05/05/00

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
*Filing Date Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

*If all required items on this form are filed within the period set above, the total amount owed by applicant as a*

☐ small entity (statement filed) ☒ non-small entity is \$ 130

☐ 1. The statutory basic filing fee is:

- ☐ missing  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

J. Mason

Customer Service Center

Patent and Trademark Office, Department of Commerce

09/447,788 130.00  
00000003 09/447,788 130.00  
NO FURTHER ACTION REQUIRED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Noboru Suzuki  
Serial No. : 09/447,788 Group Art Unit :2711  
Filed : November 23, 1999  
For : SPEED CONTROL DEVICE FOR OPTICAL SYSTEM

CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

Assistant Commissioner of Patents  
Washington, D.C. 20231  
Box Missing Parts

Sir:

I hereby certify that the attached Response to Notice to File Missing Parts; Copy of Form PTO 1533; 6 pg. Executed Declaration/POA; Check in the amount of \$130.00; and return receipt postcard (along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: U.S. Patent and Trademark Office, Box Missing Parts, Washington, DC 20231.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

By: 

Michael M. Murray

Date: February 23, 2000

Mailing Address:  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800

PATENT  
Docket: 1232-4600



FILE COPY

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Noboru Suzuki  
Serial No. : 09/447,788 Group Art Unit :2711  
Filed : November 23, 1999  
For : SPEED CONTROL DEVICE FOR OPTICAL SYSTEM

CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

U.S. Patent and Trademark Office  
Application Processing Division  
Customer Correction Branch  
Washington, D.C. 20231

Sir:

I hereby certify that the attached:

1. Request for Corrected Filing Receipt;
2. Copy of Official Correct Filing Receipt; and
3. Return receipt postcard.

RECEIVED  
MAY 12 2000  
TC 2700 MAIL ROOM

along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: U.S. Patent and Trademark Office Application Processing Division, Customer Correction Branch, Washington D.C. 20231

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: February 23, 2000

By:   
Michael M. Murray

CORRESPONDENCE ADDRESS:  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

Employee: \_\_\_\_\_

Team: \_\_\_\_\_

Date: 5-11

To: Technology Center 2711

From: Dora Stroud, Supervisor  
OIPE Customer Service  
Charge Location 0350

Subject: Customer Requests

Serial Number: 447788

File Location: \_\_\_\_\_

The attached request for a corrected file receipt has been completed. Please forward the case to OIPE, Customer Service, CP2-6<sup>th</sup> Floor.

If you decide to keep the case, assign the request a paper number, endorse contents, punch holes in the documents, and replace the old Bib Data sheet with the updated version in the center of the file.

Your cooperation is greatly appreciated.

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Docket: 1232-4600



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Noboru Suzuki  
Serial No. : 09/447,788 Group Art Unit :2711  
Filed : November 23, 1999  
For : SPEED CONTROL DEVICE FOR OPTICAL SYSTEM

Assistant Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

SIR:

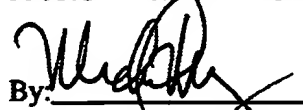
The enclosed Official Filing Receipt was recently received. The following corrections are respectfully requested.

Under Foreign/Priority Information, delete "11-340146" for application and insert therefor -- 10-340146--.

This information was correctly listed on the Utility Application Transmittal filed on November 23, 1999. Therefore, no fee is believed to be necessary. However, the Commissioner is hereby authorized to charge any additional fees which may be required for this request, or credit any overpayment to Deposit Account 13-4500, Order No. 1232-4600.

Respectfully submitted,

MORGAN & FINNEGAN

By:   
Michael M. Murray  
Reg. No. 32,557

Dated: February 23, 1999

Morgan & Finnegan L.L.P.  
345 Park Avenue  
New York, N.Y. 10154

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MAY 12 2000  
TC 2700 MAIL ROOM

## FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/447,788	11/23/99	2711	\$1,012.00	1232-4600	9	21	6

MORGAN & FINNEGAN LLP  
345 PARK AVENUE  
NEW YORK NY 10154



RECEIVED  
DOCKET DEPT.  
2000 JAN 21 A 11:00  
MORGAN & FINNEGAN LLP

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) NOBORU SUZUKI, UTSUNOMIYA-SHI, JAPAN.

FOREIGN APPLICATIONS-	JAPAN	10-340145	11/30/98
	JAPAN	11-340146	11/30/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 01/04/00.

TITLE  
SPEED CONTROL DEVICE FOR OPTICAL SYSTEM

PRELIMINARY CLASS: 348

RECEIVED  
MAY 12 2000  
TC 2700 MAIL ROOM

CASE 1232-460.0 ATTY mmm  
INFORMATION DISCLOSURE Feb 23 2000  
STATEMENT \_\_\_\_\_  
FOREIGN FILING \_\_\_\_\_  
CONVENTION DATE EXPIRES \_\_\_\_\_

DATA ENTRY BY: MASON, JAMES

TEAM: 04 DATE: 01/04/00

\*\*\*\*\*

(important information)



Bib Data Sheet



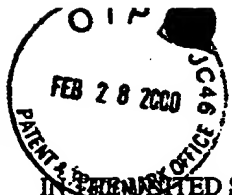
**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

<b>SERIAL NUMBER</b> 09/447,788	<b>FILING DATE</b> 11/23/1999 <b>RULE</b>	<b>CLASS</b> 348	<b>GROUP ART UNIT</b> 2711	<b>ATTORNEY DOCKET NO.</b> 1232-4600	
<b>APPLICANTS</b> NOBORU SUZUKI, UTSUNOMIYA-SHI, JAPAN; <b>** CONTINUING DATA *****</b> <b>** FOREIGN APPLICATIONS *****</b> JAPAN 10-340145 11/30/1998 JAPAN 10-340146 11/30/1998 <b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> <b>** 01/04/2000</b>					
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged _____ Examiner's Signature _____ Initials _____		<b>STATE OR COUNTRY</b> JAPAN	<b>SHEETS DRAWING</b> 9	<b>TOTAL CLAIMS</b> 21	<b>INDEPENDENT CLAIMS</b> 6
<b>ADDRESS</b> MORGAN & FINNEGAN LLP 345 PARK AVENUE NEW YORK, NY 10154					
<b>TITLE</b> SPEED CONTROL DEVICE FOR OPTICAL SYSTEM					
<b>FILING FEE RECEIVED</b> 1142	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		

Docket: 1232-4600

PATENT



UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Noboru Suzuki  
Serial No. : 09/447,788 Group Art Unit :2711  
Filed : November 23, 1999  
For : SPEED CONTROL DEVICE FOR OPTICAL SYSTEM

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**FILING DATE GRANTED**

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231  
**ATTENTION: BOX MISSING PARTS**

SIR:

In response to the Notice to File Missing Parts (FORM PTO-1533) mailed January 5, 2000, applicant(s) enclose herewith an executed Declaration/Power of Attorney for the above-identified application which was filed on November 23, 1999, without a Declaration, pursuant to 37 C.F.R. 1.63.

Also enclosed is FORM-PTO-1533 and a check in the amount of One Hundred and Thirty Dollars (\$130.00) to cover the surcharge for filing the Declaration on a date later than the filing date of the application, pursuant to 37 C.F.R. §1.16(e). The Commissioner is hereby authorized to charge any deficiencies in fees to Deposit Account No. 13-4500. Order No. 1232-4600. **A DUPLICATE COPY OF THIS SHEET IS ATTACHED.**

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Date: February 23, 2000

By: \_\_\_\_\_

Michael M. Murray  
Registration No. 32,537

Mailing Address:  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154-0053